

# Office of Licensing, Certification & Regulation

## HCBS Certification

January 28, 2013



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DEPARTMENT OF ECONOMIC SECURITY

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*Your Partner For A Stronger Arizona*

### **R6-6-1501. Definitions, R6-6-1502. Applicability**

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- The Office of Licensing, Certification, & Regulation (OLCR) is responsible for certifying programs and caregivers for home & community-based services (HCBS) for consumers with developmental disabilities. HCBS services include:
  - Attendant Care
  - Personal Care
  - Day Programs
  - Therapy Services
  - Respite Care
  - Habilitation
  - Transportation
- The standards for HCBS Certification are detailed in Title 6, Chapter 6, Article 15 of the Arizona Administrative Code. Available online at:  
[http://www.azsos.gov/public\\_services/Title\\_06/6-06.htm#ARTICLE\\_15](http://www.azsos.gov/public_services/Title_06/6-06.htm#ARTICLE_15)



# Application Process

## R6-6-1504. Application for an Initial HCBS Certificate

### R6-6-1504.03. Contents of a Complete Application Package – Initial Certificate

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- Start the QVA process with [DDD](#)
- Submit HCBS certification [application packet](#) to OLCR
  - [Provider Registration Form](#)
  - [Provider Participation Agreement](#)
  - [Disclosure of Ownership/Control and Criminal Offenses Statements](#)
  - [State of Arizona Substitute W-9 & Vendor Authorization Form](#)
  - Agency Brochure
  - [Staff Matrix](#)
  - [Criminal History Self-Disclosure Affidavit](#)
  - Level 1 Fingerprint Clearance Card
  - 3 character reference letters from non-family members



## Application Process Cont.

### R6-6-1520. Basic Qualifications, Training, and Responsibilities

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- If providing direct care additional information may be required, such as
  - CPR
  - First Aid
  - Article 9
  - Professional license
- If application is for a DDD Group Home, provide a copy of your DHS Group Home License



## AHCCCS Registration

### **R6-6-1503. Requirement for an HCBS Certificate**

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- The HCBS Certification Unit will register most vendors with AHCCCS upon completion of the certification process. Vendors will be notified directly by AHCCCS when the new ID has been established.
- Vendors providing therapy services only must contact AHCCCS directly for registration. Documents listed in the previous slides should still be submitted to the HCBS Certification Unit, with the exception of the Provider Participation Agreement, Disclosure of Ownership and the W-9.



# OLCR Life Safety Inspection

## R6-6-1505. Setting Requirements for HCBS Service Providers

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- If HCBS will be provided in your facility, OLCR Regulatory Support Unit must conduct a Life Safety Inspection. The RSU has a booklet that explains in plain language the Rules for Life-Safety Inspections. Additional information is available on our website:  
<https://www.azdes.gov/olcrinspect/>
- To request an inspection you must complete the LCR-1033 (Inspection Request), which is available on our website, and send the completed form to [olcrinspect@azdes.gov](mailto:olcrinspect@azdes.gov) as an email attachment.
- Settings licensed by the Arizona Department of Health Services as "DD Group Homes" are **not** inspected by OLCR. See the DHS website for more information regarding these settings.  
<http://www.azdhs.gov/als/grouphm/index.htm>



# Level 1 Fingerprint Clearance Card and Background Checks

## R6-6-1506. Fingerprinting Requirements

### R6-6-1504. Application for an Initial HCBS Certificate

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- When submitting applications for fingerprint clearance cards for your employees, ensure your agency name and contact information is listed as the employer and the appropriate statute is indicated ARS 36-594.
- DPS will notify OLCR when an application for a fingerprint clearance card is denied or other adverse action is taken on an existing fingerprint clearance card.
- If you are properly identified as the employer, OLCR will notify you of the action taken by DPS and require you to respond within 10 days indicating your action taken regarding the employee.
- Background checks with Child Protective Services and Adult Protective Services are conducted on applicants when information in the application indicates a past history of child or elder abuse.



# HCBS Compliance Audit

## R6-6-1512. Compliance Audit of HCBS Service Providers

## R6-6-1519. Records

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- OLCR will contact you every other year to schedule a compliance audit. You will be required to provide an agency staff matrix including all agency staff that provide services to DDD clients/consumers. The HCBS Certification Specialist will select employee files for review. Your files should include the following:
  - Employment Application or Resume
  - 3 References from non-family members
  - Driver's License
  - CPR and First Aid certification
  - Fingerprint Clearance Card
  - Criminal History Self-Disclosure
  - Article 9 training certificate
  - CIT training certificate (if required in the client's ISP)





## Changes/Amendments

### R6-6-1510. Amending an HCBS Certificate

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- Remember to follow-up with OLCR when changes are made in the DDD Contracts system (Focus)
  - Change of Address
  - Add Service
  - Delete Service
  - Name Change
  - Closure/Withdrawal



### **R6-6-1507. Application for an HCBS Certificate Renewal**

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- Certification must be renewed annually, failure to respond to the Renewal Notice or Compliance Audit Notice may result in an administrative termination of your certification.
- Failure to bill for HCBS services for 24 months will result in automatic termination of your AHCCCS registration.
- If you close your business or choose to not continue providing HCBS services, contact OLCR to voluntarily terminate your certification.



## OLCR Contacts

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## Related Contacts

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- Arizona Health Care Cost Containment System (AHCCCS)
  - Phone: 602-417-7670 Option 5
  - Fax: 602-256-1474
  - [www.azahcccs.gov/commercial/ProviderRegistration/registration.aspx#](http://www.azahcccs.gov/commercial/ProviderRegistration/registration.aspx#)
- Department of Health Services (DHS)
  - Phone: 602-364-2536
  - Fax: 602-364-4808
  - <http://www.azdhs.gov/als/grouphm/index.htm>

